Approved for use through 07/31/2006. OMB 0651-0032
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## UTILITY PATENT APPLICATION **TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	36287-04404	
First Inventor	GRAY et al.	
Title	Method And System For	
Express Mail Label No.	EV252565025US	ــــــــــــــــــــــــــــــــــــــ

	APPLICATION ELEMENTS		Patent Application oner for Patents
See MPEP o	chapter 600 concerning utility patent application contents.	ADDRESS TO. P.O. Box	1450
1.  Fee Tr (Submit 2.  Applic. See 3.  Specif (preferr - Descr - Cross - State - Refer or a c - Backg - Brief - Detail - Claim - Abstr.  4.  Drawin 5. Oath or Deca a.  Ne b.  Co (for	ransmittal Form (e.g., PTO/SB/17)  t an original and a duplicate for fee processing) ant claims small entity status.  7 CFR 1.27.  ication [Total Pages 32]  red arrangement set forth below) riptive title of the invention is Reference to Related Applications ment Regarding Fed sponsored R & D rence to sequence listing, a table, computer program listing appendix ground of the Invention Summary of the Invention Description of the Drawings (if filed) led Description (s) act of the Disclosure  Ing(s) (35 U.S.C. 113) [Total Sheets 12]	7. CD-ROM or CD-R in dupli Computer Program (Appe 8. Nucleotide and/or Amino Acid (if applicable, all necessary) a. Computer Readable b. Specification Seque i. CD-ROM or C ii. Paper c. Statements verifying  ACCOMPANYING AF  9. Assignment Papers (co. 10. 37 CFR 3.73(b) Statement (when there is an assign (when there is an assign English Translation Doc Information Disclosure Statement (IDS)/PTO-14 13. Preliminary Amendment Return Receipt Postcard (Should be specifically in (if foreign priority is claim Nonpublication Request (b)(2)(B)(i). Applicant mor its equivalent. 17. Other: Check for \$1.408	Sequence Submission  Form (CRF)  nce Listing on:  D-R (2 copies); or  glidentity of above copies  PLICATION PARTS  ver sheet & document(s)) ent
	NUING APPLICATION, check appropriate box, and sup flowing the title, or in an Application Data Sheet under 3		nd in the first sentence of the
Contin	nuation Divisional Continua	ation-in-part (CIP) of prior application	on No.:
Prior application i	information: Examiner	Art Unit:	
5b, is considere	TION OF DIVISIONAL APPS only; The entire disclosure of the dapart of the disclosure of the accompanying continuation can only be relied upon when a portion has been inadver	n or divisional application and is hereby	incorporated by reference.
	19. CORRESPON	DENCE ADDRESS	
Custon	ner Number: 27171	OR Corre	spondence address below
Name	Chris L. Holm		
Address	Milbank Tweed Hadley & McCloy LLP		
City	1 Chase Manhattan Plaza	State New York	Zip Code 10005
Country	New York T	New York 212-530-5000	
Name (Print/Ty			39,227
Signature	Chip E. Hymi	,gowy	Date November 26, 2003

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/17 (10-03)
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FEE TO ANG	CRAITTAI	C	omplete if Known	
FEE TRANS	SWILLAL	Application Number	TBA	
for EV	2004	Filing Date	November 26, 2003	
for FY 2004  Effective 10/01/2003. Patent fees are subject to annual revision.  Applicant claims small entity status. See 37 CFR 1.27		First Named Inventor	GRAY et al.	
		Examiner Name	TBA	
		Art Unit	TBA	
TOTAL AMOUNT OF PAYMENT	(\$) 1,408.00	Attorney Docket No.	36287-04404	

Check Credit card Money Other None    Deposit Account:
Deposit Account:  Deposit Account Number Deposit Account Number Deposit Account Number Deposit Account Name  The Director is authorized to: (check all that apply)  Charge any additional fee(s) or any underpayment of fee(s)  Large Entity , Small Entity  Fee Fee Code (\$)  1052 50  2052 25 Surcharge - late filing fee or oath  1053 130 Non-English specification  1812 2,520 For filing a request for ex parte reexamination  1804 920* Requesting publication of SIR prior to Examiner action
Deposit Account Number Deposit Account Name  Milbank Tweed  The Director is authorized to: (check all that apply)  Charge fee(s) indicated below  Charge any additional fee(s) or any underpayment of fee(s)  Code (\$)  1051 130  2051 65 Surcharge - late filing fee or oath 2052 25 Surcharge - late provisional filing fee or cover sheet 1053 130  1053 130 Non-English specification 1812 2,520 For filing a request for ex parte reexamination 1804 920* Requesting publication of SIR prior to Examiner action
Account Number Deposit Account Name  The Director is authorized to: (check all that apply)  Charge fee(s) indicated below  Charge any additional fee(s) or any underpayment of fee(s)  Total 130 2051 65 Surcharge - late filing fee or oath 2052 25 Surcharge - late provisional filing fee or cover sheet 2052 25 Surcharge - late filing fee or oath 2052 25 Surcharge - late filin
Deposit Account Name  The Director is authorized to: (check all that apply)  Charge fee(s) indicated below  Charge any additional fee(s) or any underpayment of fee(s)  The Director is authorized to: (check all that apply)  1052 50 2052 25 Surcharge - late provisional filing fee or cover sheet  1053 130 Non-English specification  1812 2,520 For filing a request for ex parte reexamination  1804 920* Requesting publication of SIR prior to Examiner action
Account Name  The Director is authorized to: (check all that apply)  Charge fee(s) indicated below Credit any overpayments  Charge any additional fee(s) or any underpayment of fee(s)  Cover sheet  1053 130 Non-English specification  1812 2,520 For filing a request for ex parte reexamination  1804 920* Requesting publication of SIR prior to Examiner action
The Director is authorized to: (check all that apply)  Charge fee(s) indicated below  Credit any overpayments  Charge any additional fee(s) or any underpayment of fee(s)  1812 2,520  1812 2,520 For filing a request for ex parte reexamination  1804 920* Requesting publication of SIR prior to  Examiner action
Charge fee(s) indicated below Credit any overpayments  Charge any additional fee(s) or any underpayment of fee(s)  1804 920* Requesting publication of SIR prior to Examiner action
Charge any additional fee(s) or any underpayment of fee(s)  Examiner action
Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
FEE CALCULATION 1251 110 2251 55 Extension for reply within first month
1. BASIC FILING FEE
Large Entity Small Entity 1253 950 2253 475 Extension for reply within third month
Fee Fee Fee Fee Fee Description Fee Paid 1254 1,480 2254 740 Extension for reply within fourth month
1001 770 2001 385 Utility filing fee 1255 2,010 2255 1,005 Extension for reply within fifth month
1002 340 2002 170 Design filing fee   770   1401 330 2401 165 Notice of Appeal
1003 530 2003 265 Plant filing fee 1402 330 2402 165 Filing a brief in support of an appeal
1004 770 2004 385 Reissue filing fee 1403 290 2403 145 Request for oral hearing
1005 160 2005 80 Provisional filing fee 1451 1,510 1451 1,510 Petition to institute a public use proceeding
SUBTOTAL (1) (\$) 770   1452 110 2452 55 Petition to revive - unavoidable
1453 1,330 2453 665 Petition to revive - unintentional
2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE 1501 1,330 2501 665 Utility issue fee (or reissue)
Ext <u>ra Claims below Fee Paid</u> 1502 480 2502 240 Design issue fee
Total Claims 22 -20** = 2 X 18 = 36 1503 640 2503 320 Plant issue fee
Claims 10 - 3" = 17   X   00   = 002   1460   130   1460   130   Petitions to the Commissioner
Multiple Dependent 1807 50 1807 50 Processing fee under 37 CFR 1.17(q)
Large Entity   Small Entity   Small Entity   1806   180   1806   180   Submission of Information Disclosure Stmt
Fee Fee Code (\$)  Fee Fee Fee Description Code (\$)  8021 40  Recording each patent assignment per property (times number of properties)
1202 18 2202 9 Claims in excess of 20 1809 770 2809 385 Filing a submission after final rejection (37 CFR 1.129(a))
1201 86 2201 43 Independent claims in excess or 3 (37 CPR 1.129(a))  1203 290 2203 145 Multiple dependent claim, if not paid 1810 770 2810 385 For each additional invention to be
1204 86 2204 43 ** Reissue independent claims examined (37 CFR 1.129(b))
over original patent 1801 770 2801 385 Request for Continued Examination (RCE)
1205 18 2205 9 ** Reissue claims in excess of 20 1802 900 1802 900 Request for expedited examination of a design application
SUBTOTAL (2) (\$) 638 Other fee (specify)
*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)  **or number previously paid, if greater; For Relssues, see above
SUBMITTED BY (Complete (if applicable))

Telephone 212-530-5000 Name (Print/Type) 39,227 November 26, 2003 Signature

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Docket No.: 36287-04404

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

GRAY et al.

Serial No.:

**TBA** 

Filing Date:

November 26, 2003

Title:

METHOD AND SYSTEM FOR TRANSFER OF EMPLOYEE STOCK OPTIONS

Paper Filed:

**Utility Patent Application** 

## **CERTIFICATE OF MAILING**

I hereby certify that on November 26, 2003, this correspondence is being deposited with the United States Postal Service, with sufficient postage, as Express Mail (Label No. EV252565025US) in an envelope addressed to:

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